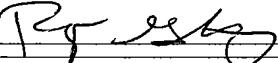


CERTIFICATE OF EFS FILING UNDER 37 CFR §1.8

I hereby certify that this correspondence is being electronically transmitted to the United States Patent and Trademark Office, Commissioner for Patents, via the EFS pursuant to 37 CFR §1.8 on the below date:

Date: April 20, 2010

Name: Ryan Gleitz, Reg. No. 62,164

Signature: 

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: James Farrell et al.

Appln. No.: 10/713,126

Filed: November 14, 2003

For: SYSTEM AND METHOD FOR
CONTROLLING MARKETS DURING A
STOP LOSS TRIGGER

Attorney Docket No.: 4672/310

Examiner: Weis, Samuel

Art Unit: 3695

Conf. No.: 9585

SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

In accordance with the duty of disclosure under 37 CFR §1.56 and §§1.97-1.98, and more particularly in accordance with 37 CFR §1.97(c), Applicants hereby cite the following references:

OTHER ART – NON PATENT LITERATURE DOCUMENTS
Yutaka Fukushima: "Method of Matching Orders and Price Volatility in JGB Futures Market- Analysis of Strategic Order, Appropriate Trade Rule In Accordance with Market Condition" 2001 the 9 th Conference of Nippon Finance Association Draft Report, June 3, 2001, pages 303 to 316 (with translation)
Naoto Isaka: "Mechanism for Recovery of Liquidity After Large-Scale Macro Shock- Tokyo Stock Exchange just after 9/11" 2003 fiscal year the 11 th Conference of Nippon Finance Association Draft Report, June 7, 2003, pages 317 to 331 (with translation)
Sadakazu Osaki: "Review of Circuit Breaker in U.S." Capital Market Quarterly, Winter 1998, Nomura Research Institution, Ltd., February 1 st , 1998, vol. 1 no. 3. pages 46-52
Kengo Fukamachi: The American Futures & Options Trading, Toyo Keizai Inc. July 20 th , 2000, first edition, pages 70-76
Notification of Reasons for Rejection, Japanese Patent Office, Application No. 2006-521123, November 10, 2009, 4 pages

Applicants are enclosing Form PTO-1449 (one sheet), along with a copy of each listed reference for which a copy is required under 37 CFR §1.98(a)(2). Pursuant to the undersigned attorney's obligation and duties under 37 CFR §§ 1.56 and 1.98(a)(3) and (c), English language translations are included for the non patent literature documents B1 and B2, for the express purpose of providing a concise explanation of the references to the Patent and Trademark Office with the opportunity to evaluate the same. Translations will be obtained upon request for the non patent literature documents B3 and B4. Applicants respectfully request the Examiner's consideration of the above references and entry thereof into the record of this application.

By submitting this Statement, Applicants are attempting to fully comply with the duty of candor and good faith mandated by 37 CFR §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 CFR §1.56(a).

Applicants have calculated a processing fee in the amount of \$180.00 to be due under 37 CFR §1.17(p) in connection with the filing of this Information Disclosure Statement. Applicants have authorized charging the fee to a deposit account or credit card, as indicated in the Transmittal accompanying this Information Disclosure Statement.

Respectfully submitted,



Ryan Gleitz, Reg. No. 62,164

April 20, 2010
Date